

Retention and Classification Report

Agency: Department of Heritage and Arts (Utah). Division of State History

300 Rio Grande
Salt Lake City, UT 84101-1182
801-533-3553

Records Officer Josh Loftin

29883 Antiquities Section archaeological site forms

The record series listed above have been examined and approved for submission to the State Records Committee.

Jill Love
Chief Administrative Officer (print)

Jill Love
Signature

Director
Title

12/29/19
Date

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29883 Antiquities Section archaeological site forms

Utah State Archives

AGENCY: Department of Heritage and Arts (Utah). Division of State History

SERIES: 29883

1

TITLE: Antiquities Section archaeological site forms

DATES: 1973-

ARRANGEMENT: Alphabetical by county, thereunder numerical by site form number.

DESCRIPTION:

These records are narrative forms concerning archaeological sites collected by the Antiquities Section under Utah Code 9-8-304(f)(2007) and federal National Historic Preservation Act (NHPA) Section 101 (54-USC-302303). Information includes a description of the archaeological site, photographs of the site and site artifacts, a site location map and a site sketch.

RETENTION:

Retain permanently

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative value has been met and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office until administrative value has been met and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have historical value(s).

These records are considered historical according to National Historic Preservation Act section 101 (54-USC-302303). These records also provide evidence of the significant effects of governmental programs and actions on individuals, communities, and the natural and man-made environment and contribute substantially to knowledge and understanding of the people and communities of our state.

Utah State Archives

AGENCY: Department of Heritage and Arts (Utah). Division of State History

SERIES: 29883

TITLE: Antiquities Section archaeological site forms

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Protected. Utah Code 63G-2-305-3(2019)

General Retention Schedule Submission

Schedule for review:

Special assessment project governance records (GRS-16555)

Description

Special assessments are charges levied against a specific geographic area for specific benefits from public projects. These records are used to ensure legal requirements are met to establish the area. These records document the governing body's resolutions, hearings, ordinances, maps, and related records.

Retention and Disposition

Retain permanently. Records may be transferred to the archives.

Retention Justification

Retention is to be determined by individual governmental entities. Disposition is based on the historical appraisal of these records.

Appraisal

These records have historical value based on their importance in providing evidence of the significant effects of governmental programs and actions on individuals, communities, and the natural and man-made environment.

Categories Clerk

Continuance summary:

This is a new schedule that needs to be approved by the Committee for use. It was submitted to the RMC with a sister schedule in November, 2019. The sister schedule (GRS-16554 Special Assessment Project Administrative Records) was approved by the Committee December 2019. The RMC requested information about where this schedule (GRS-16555) overlaps with other schedules, and what records are covered by this schedule that are not covered anywhere else.

Schedule background and justification:

Updates to the assessment schedules started in December 2018 when a question about notices of intention revealed that existing schedules didn't work for the rest of the records created for assessments. One ARO said *"I think we need something different for these but that's just my opinion. I can always make it work for us....but it really doesn't."*

In response, we received a documented timetable tracking the processes of a special assessment that was in the works at the time. We tried to tie existing general retention schedules to the process. During this exercise we learned the records are managed like project case files, and managing them under multiple retention schedules was arduous and impractical for some municipalities. Two schedules were created for special assessments to address this need.

This follows the pattern of [GRS-666](#) and [667](#) (block grants), as well as [GRS-705](#) and [706](#) (HUD grants) because there is value in having two schedules for these project files in order to simplify maintenance of the records.

Stakeholder feedback:

This schedule was sent to 12 municipal records officers for feedback. Two responded. After the November RMC meeting, it was sent to 14 municipal clerks. Five responded. The respondents are from both large and small municipalities, located in three different counties.

- 1. My file contains all the permanent documentation that I collect from various Staff and departments to ensure we meet the legal requirements to establish the area and have supporting documentation. Like I said, it really doesn't "fit" somewhere existing but.....?*
- 2. We feel that most of the permanent records would be captured in resolutions and other council records, but that the administrative stuff primarily lives in their finance department, for collection of the taxes.*
- 3. I would personally keep a copy of the original (permanent) documents in my Special Assessment File.*
- 4. State code indicates municipal recorders shall record in a book exclusively for that purpose all ordinances passed by the governing body and give each ordinance a number (UCA 10-3-713). [This city] keeps all ordinances together in one file/book with an index, but I know not every city manages records the same.*
- 5. I spoke with our Planning Director to better understand the special assessment project requirements and we feel the below retention schedule would work fine for our municipality.*
- 6. We don't or haven't had a lot of this happening in [this city], but our input is that most of the governance records listed would be permanent anyway – resolutions, ordinances, public hearings (minutes from the meeting), etc.*

RMC Questions:

At the Records Management Committee's request, Heidi and Rebekkah looked at where the schedule may overlap with existing general retention schedules, and what records fall under this schedule but are not covered elsewhere.

If an assessment project is especially controversial, there will be additional records in the project file that fall here. Although not named specifically in the schedule description, these records would be captured under the phrase “related records.” These may include legal records, correspondence, and records documenting community response and an agency’s outreach efforts.

There are general retention schedules for resolutions (GRS-50), ordinances (GRS-49), and maps (GRS-1747). This schedule is meant for the historical records in the project file. It is possible that records which could possibly fall under other schedules may overlap with this one: Official Reports (GRS-3), there could potentially be correspondence added to the file (there is no GRS specific to local government correspondence that has a permanent disposition).

Having the GRS for this doesn’t mean that all record copies must go here. The GRS is not an inventory or a records management plan. It is not intended to be a platform for requesting records, although it does provide information about how long an agency should keep a record you’re requesting.

Political entities can approve their own retention schedules, but we’d like them to be able to use the GRS for consistency across the state. We’re working to accommodate agencies’ needs for specific records and functions. Having a copy of the ordinances in this schedule provides context for the record. We’re not asking agencies to use the GRS for special assessments (GRS-16555) instead of the ordinances schedule (GRS-49). If they want to keep it with assessments, or even have a copy both with assessments and with their ordinances, the flexibility will be available.

General Retention Schedule Submission

Schedule for review:

Emergency response hazardous waste case files (GRS-551)

Proposed Updated Description

These case files document the investigation of hazardous waste incidents including the cleanup, the process and the proper waste disposal. Information includes complaint, incident, spill, response, and remediation details.

Previous Description

These case files document the investigation of hazardous waste incidents including the cleanup, the process and the proper waste disposal. The case files include complaint date, time, and number; complainant's name, address, and telephone number; spill location; material spilled; weather conditions/local terrain; time on scene; population area; personnel on scene; volume of spill; anticipated movement of spill; action taken; water bodies or streams involved; name of shipper/manufacturer; chemical placarding/labeling information; container type; railroad/truck ID number; injury or exposure; samples taken; and signature of registered environmental health specialist.

Retention and Disposition

Retain permanently. Records may be transferred to the archives.

Appraisal

These records have administrative, and/or historical value(s).

These records have historical value based on their evidence of the significant effects of governmental programs and actions on individuals, communities, and the natural and man-made environment.

Categories Health

Previous Schedule Number CO-25-29

Summary:

This is an existing schedule update submitted to the RMC as an example of what we consider a "minor" update. Minor updates are done with the approval of the Appraisal Committee and were not submitted to the State Records Committee. Now we need to know what the Committee would consider a major and minor update.

Schedule background and justification:

We started reviewing the description of this schedule in March 2019. We consider this a minor description update. The list was removed leaving a simple, clearer description. The update was added to the website (Airtable) October 2019 after it was approved by the Appraisal Committee, and added to the GRS website November 2019.

Stakeholder feedback:

We reached out to the Health Department, Environmental Quality, interlocal agencies (8), and county/regional health departments (9). All feedback has been positive.

Question for the RMC:

Here is the list from our website of what major and minor updates are. Does the RMC have any changes they'd recommend to this list?

Major updates include:

- Significant description updates.
- Consolidation of schedules that are not duplicative.
- Consolidation that changes the retention of records.
- Retention change.
- Disposition change.
- Discontinuation of a schedule.

Minor updates include:

- Description updates for consistency, typos, or grammar.
- Consolidation of duplicative schedules.
- Citation updates.
- Title updates or changes.

General Retention Schedule Submission

Schedule for review:

National Crime Information Center (NCIC) data entry records (GRS-355)

Updated Description

These records document the entry and removal of information by law enforcement into the NCIC system, which is maintained by the FBI. Information is used to trace stolen articles, missing or stolen guns, wanted persons, and missing juveniles.

Previous Description

These files contain forms used to enter information on the NCIC system. The forms used are stolen articles report, stolen or missing guns report, and wanted persons or missing juveniles report.

Retention and Disposition

Retain until final action, and then destroy records.

Appraisal

These records have administrative value.

Categories Law Enforcement

Summary:

This is an existing schedule update submitted to the RMC with an updated description, and change in retention. Retention is being updated from “1 year and then destroy” to “until final action and then destroy”. These updates are intended to reflect current practices.

Schedule background and justification:

NCIC is a system maintained by the FBI. The FBI sets the regulations for the database. BCI is the control service agency for Utah. This means they monitor, audit, and grant access to NCIC for law enforcement entities. The NCIC manual has retention standards for each type of entry into NCIC. Those retention schedules/guidelines are located in the NCIC manual under each entry. (Here's the link to NCIC on the FBI's website: <https://www.fbi.gov/services/cjis/ncic>)

Local law enforcement agencies (mostly dispatch) enter data into NCIC. There used to be paper forms used to collect required information. Some agencies still use these forms and then submit them for entry into the NCIC, but most now enter the information directly.

If they use the form, it's a copy of the NCIC entry and serves as verification from dispatch of the report as long as the item/person is listed on the NCIC. If the case closes, the entity completes an update via FBI online form to remove the listing.

Annually a list of entries is sent to the local entities for validation. If it isn't validated (meaning they should still be listed), the entries are purged. To keep items active on the NCIC they need the initial report, and proof of entry. Once things are "purged", they're stored in a quarantine for 2-3 years should a case re-open. Based on this practice, entities with these records keep them for as long as they're active cases in the NCIC, so retention should be changed from 1 year to final action. Final action might mean when the case is closed, when the entry is purged, or after the quarantine is completed.

Stakeholder feedback:

We asked 22 local PD's back in August about this system, and if they still use forms. We heard from 11 of them. Some do use the forms, some don't. This means some have records that would fall under this schedule, and some don't. Some entities use the NCIC entry and paste that into a case report, which follows a different schedule. Most likely GRS-2023 Misdemeanor and Felony Investigation Files.